

|                                                                                                                              |  |  |                                       |  |                           |  |
|------------------------------------------------------------------------------------------------------------------------------|--|--|---------------------------------------|--|---------------------------|--|
| FORM PTO-1449 (Modified)                                                                                                     |  |  | Attorney Docket No.<br>16930-000811US |  | Serial No.:<br>08/889,355 |  |
| LIST OF PATENTS AND PUBLICATIONS FOR<br>APPLICANT'S INFORMATION DISCLOSURE<br>STATEMENT<br>(Use several sheets if necessary) |  |  | Applicant: HEIDRUN ENGLER et al.      |  |                           |  |
|                                                                                                                              |  |  | Filing Date: 7/8/97                   |  | Group: To be Assigned     |  |

| U.S. PATENT DOCUMENTS |              |          |                 |       |           |                              |
|-----------------------|--------------|----------|-----------------|-------|-----------|------------------------------|
| Examiner Initial      | Document No. | Date     | Name            | Class | Sub-class | Filing Date (If Appropriate) |
| AA                    | 5,013,556    | 05/07/91 | Woodle et al.   | A61K  | 37/22     |                              |
| AB                    | 5,108,921    | 04/28/92 | Low et al.      | C12N  | 5/00      |                              |
| AC                    | 5,166,320    | 11/24/92 | Wu et al.       | C07K  | 3/00      |                              |
| AD                    | 5,213,804    | 05/25/93 | Martin et al.   | A61K  | 9/127     |                              |
| AE                    | 5,279,833    | 01/18/94 | Rose            | A61K  | 37/22     |                              |
| AF                    | 5,283,185    | 02/01/94 | Epand et al.    | C12N  | 15/64     |                              |
| AG                    | 5,334,761    | 08/02/94 | Gebeyehu et al. | C07C  | 233/36    |                              |
| AH                    | 5,346,701    | 09/13/94 | Heiber et al.   | A61F  | 13/02     |                              |
| AI                    | 5,521,291    | 05/28/96 | Curiel et al.   | C07K  | 16/08     |                              |
| AJ                    | 5,542,935    | 08/06/96 | Unger et al.    | A61M  | 5/00      |                              |
| AK                    | 5,552,309    | 09/03/96 | March           | A01N  | 63/00     |                              |
| AL                    | 5,554,386    | 09/10/96 | Groman et al.   | A61K  | 47/26     |                              |
| AM                    | 5,578,475    | 11/26/96 | Jessee          | C12N  | 15/64     |                              |
| AN                    | 5,580,859    | 12/03/96 | Felgner et al.  | A01N  | 43/04     |                              |
| AO                    | 5,589,466    | 12/31/96 | Felgner et al.  | A61K  | 48/00     |                              |
| AP                    | 5,601,818    | 02/11/97 | Freeman et al.  | A61K  | 48/00     |                              |
| AQ                    | 5,631,236    | 05/20/97 | Woo et al.      | A61K  | 48/00     |                              |

| FOREIGN PATENT DOCUMENTS |              |          |         |       |           |                      |
|--------------------------|--------------|----------|---------|-------|-----------|----------------------|
|                          | Document No. | Date     | Country | Class | Sub-class | Translation (Yes/no) |
| AR                       | WO 92/06180  | 04/16/92 | WIPO    | C12N  | 7/00      |                      |
| AS                       | WO 93/14188  | 07/22/93 | WIPO    | C12N  | 5/00      |                      |
| AT                       | WO 93/19768  | 10/14/93 | WIPO    | A61K  | 37/00     |                      |
| AU                       | WO 93/20221  | 10/14/93 | WIPO    | C12N  | 15/86     |                      |
| AV                       | WO 94/06922  | 03/31/94 | WIPO    | C12N  | 15/87     |                      |
| AW                       | WO 94/06923  | 03/31/94 | WIPO    | C12N  | 15/87     |                      |
| AX                       | WO 95/11981  | 05/04/95 | WIPO    | C12N  | 15/86     | No                   |
| AY                       | WO 97/27599  | 07/31/97 | WIPO    | H01C  | 7/12      | No                   |

FORM PTO-1449 (Modified)

MAR 02 1998

LIST OF PATENTS AND PUBLICATIONS FOR  
APPLICANT'S INFORMATION DISCLOSURE  
STATEMENT

(Use several sheets if necessary)

Attorney Docket No.

16930-000811US

Serial No.:

08/889,355

Applicant: HEIDRUN ENGLER et al.

Filing Date: 7/8/97

Group: To be Assigned

## Reference Designation

## U.S. PATENT DOCUMENTS

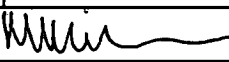
| Examiner Initial | Document No. | Date     | Name            | Class | Sub-class | Filing Date (If Appropriate) |
|------------------|--------------|----------|-----------------|-------|-----------|------------------------------|
| <u>AW</u> AA     | 5,013,556    | 05/07/91 | Woodle et al.   | A61K  | 37/22     |                              |
| <u>AW</u> AB     | 5,108,921    | 04/28/92 | Low et al.      | C12N  | 5/00      |                              |
| <u>AW</u> AC     | 5,166,320    | 11/24/92 | Wu et al.       | C07K  | 3/00      |                              |
| <u>AW</u> AD     | 5,213,804    | 05/25/93 | Martin et al.   | A61K  | 87/127    |                              |
| <u>AW</u> AE     | 5,279,833    | 01/18/94 | Rose            | A61K  | 37/22     |                              |
| <u>AW</u> AF     | 5,283,185    | 02/01/94 | Epand et al.    | C12N  | 15/64     |                              |
| <u>AW</u> AG     | 5,334,761    | 08/02/94 | Gebeyehu et al. | C07C  | 233/36    |                              |
| <u>AW</u> AH     | 5,346,701    | 09/13/94 | Heiber et al.   | A61F  | 13/02     |                              |
| <u>AW</u> AI     | 5,521,291    | 05/28/96 | Curiel et al.   | C07K  | 16/08     |                              |
| <u>AW</u> AJ     | 5,542,935    | 08/06/96 | Unger et al.    | A61M  | 5/00      |                              |
| <u>AW</u> AK     | 5,552,309    | 09/03/96 | March           | A01N  | 63/00     |                              |
| <u>AW</u> AL     | 5,554,386    | 09/10/96 | Groman et al.   | A61K  | 47/26     |                              |
| <u>AW</u> AM     | 5,578,475    | 11/28/96 | Jessee          | C12N  | 15/64     |                              |
| <u>AW</u> AN     | 5,580,859    | 12/03/96 | Felgner et al.  | A01N  | 43/04     |                              |
| <u>AW</u> AO     | 5,589,466    | 12/31/96 | Felgner et al.  | A61K  | 48/00     |                              |
| <u>AW</u> AP     | 5,601,818    | 02/11/97 | Freeman et al.  | A61K  | 48/00     |                              |
| <u>AW</u> AQ     | 5,631,236    | 05/20/97 | Woo et al.      | A61K  | 48/00     |                              |

## FOREIGN PATENT DOCUMENTS

|              | Document No. | Date     | Country | Class | Sub-class | Translation (yes/no) |
|--------------|--------------|----------|---------|-------|-----------|----------------------|
| <u>AW</u> AR | WO 92/06180  | 04/16/92 | WIPO    | C12N  | 7/00      |                      |
| <u>AW</u> AS | WO 93/14188  | 07/22/93 | WIPO    | C12N  | 5/00      |                      |
| <u>AW</u> AT | WO 93/19768  | 10/14/93 | WIPO    | A61K  | 37/00     |                      |
| <u>AW</u> AU | WO 93/20221  | 10/14/93 | WIPO    | C12N  | 15/86     |                      |
| <u>AW</u> AV | WO 94/06922  | 03/31/94 | WIPO    | C12N  | 15/87     |                      |
| <u>AW</u> AW | WO 94/06923  | 03/31/94 | WIPO    | C12N  | 15/87     |                      |
| <u>AW</u> AX | WO 95/11984  | 05/04/95 | WIPO    | C12N  | 15/86     | No                   |
| <u>AW</u> AY | WO 97/27599  | 07/31/97 | WIPO    | H01C  | 7/12      | No                   |

|                                                                                                                              |                                                                                                                                                                                                                                            |                                       |                           |
|------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------|---------------------------|
| FORM PTO-1449 (Modified)                                                                                                     |                                                                                                                                                                                                                                            | Attorney Docket No.<br>16930-000811US | Serial No.:<br>08/889,355 |
| LIST OF PATENTS AND PUBLICATIONS FOR<br>APPLICANT'S INFORMATION DISCLOSURE<br>STATEMENT<br>(Use several sheets if necessary) |                                                                                                                                                                                                                                            | Applicant: HEIDRUN ENGLER et al.      |                           |
|                                                                                                                              |                                                                                                                                                                                                                                            | Filing Date: 7/8/97                   | Group: To be Assigned     |
| OTHER ARTS (Including Author, Title, Date, Pertinent Pages, Etc.)                                                            |                                                                                                                                                                                                                                            |                                       |                           |
| <u>mw</u> AZ                                                                                                                 | Abe, A. et al., "Transduction of a Drug-Sensitive Toxic Gene into Human Leukemia Cell Lines with a Novel Retroviral Vector," <u>P.S.E.B.M.</u> 203:354-359 (1993)                                                                          |                                       |                           |
| <u>mw</u> BA                                                                                                                 | Arteaga, C.L. et al., "Tissue-targeted Antisense c-fos Retroviral Vector Inhibits Established Breast Cancer Xenografts in Nude Mice," <u>Cancer Research</u> 56:1098-1103 (1996)                                                           |                                       |                           |
| <u>mw</u> BB                                                                                                                 | Banerjee, A. et al., "Changes in Growth and Tumorigenicity following Reconstitution of Retinoblastoma Gene Function in Various Human Cancer Cell Types by Microcell Transfer of Chromosome 13," <u>Cancer Research</u> 52:6297-6304 (1992) |                                       |                           |
| <u>mw</u> BC                                                                                                                 | Bass, C. et al., "Recombinant adenovirus-mediated gene transfer to genitourinary epithelium in vitro and in vivo," <u>Cancer Gene Ther.</u> 2(2):97-104 (1995)                                                                             |                                       |                           |
| <u>mw</u> BD                                                                                                                 | Blixt, Y. et al., "Enhancement of intracellular uncoating of adenovirus in HeLa cells in the presence of benzyl alcohol as a membrane fluidizer," <u>Arch. Virol.</u> 129:265-277 (1993)                                                   |                                       |                           |
| <u>mw</u> BE                                                                                                                 | Boulikas, "Gene Therapy of Prostate Cancer: p53, Suicidal Genes, and Other Targets," <u>Anticancer Research</u> 17:1471-1506 (1997)                                                                                                        |                                       |                           |
| <u>mw</u> BF                                                                                                                 | Brewster, S.F. et al., "Gene Therapy in Urological Oncology: Principles, Strategies and Potential," <u>Eur. Urol.</u> 25:177-182 (1994)                                                                                                    |                                       |                           |
| <u>mw</u> BG                                                                                                                 | Cairns, P. et al., "Loss of heterozygosity at the RB locus is frequent & correlates with muscle invasion in bladder carcinoma," <u>Oncogene</u> 6:2305-2309 (1991)                                                                         |                                       |                           |
| <u>mw</u> BH                                                                                                                 | Cooper, M.J. et al., "Safety-modified episomal vectors for human gene therapy," <u>Proc. Natl. Acad. Sci. U.S.A.</u> 94:6450-6455 (1997)                                                                                                   |                                       |                           |
| <u>mw</u> BI                                                                                                                 | Curiel, D.T. et al., "Adenovirus enhancement of transferrin-polylysine-mediated gene delivery," <u>Proc. Natl. Acad. Sci. U.S.A.</u> 88:8850-8854 (1991)                                                                                   |                                       |                           |
| <u>mw</u> BJ                                                                                                                 | Dalesandro, J. et al., "Cardiac and Pulmonary Replacment," <u>J. Thoracic Cardio. Surg.</u> 111(2):416-422 (1996)                                                                                                                          |                                       |                           |
| <u>mw</u> BK                                                                                                                 | Fujimoto, K. et al., "Frequent Association of p53 Gene Mutation in Invasive Bladder Cancer," <u>Cancer Research</u> 52:1393-1398 (1992)                                                                                                    |                                       |                           |
| <u>mw</u> BL                                                                                                                 | Ginsberg, H.S. et al., "Role of early region 3 (E3) in pathogenesis of adenovirus disease," <u>Proc. Natl. Acad. Sci. U.S.A.</u> 86:3823-3827 (1989)                                                                                       |                                       |                           |
| <u>mw</u> BM                                                                                                                 | Good, N.E. et al., "Hydrogen Ion Buffers for Biological Research," <u>Biochemistry</u> 5(2):467-477 (1966)                                                                                                                                 |                                       |                           |
| <u>mw</u> BN                                                                                                                 | Goodrich, D.W. et al., "Expression of the Retinoblastoma Gene Product in Bladder Carcinoma Cells Associates with a Low Frequency of Tumor Formation," <u>Cancer Research</u> 52:1968-1973 (1992)                                           |                                       |                           |
| <u>mw</u> BO                                                                                                                 | Grenay, H. et al., "Characterization of Imidazoline Binding Protein(s) Solubilized from Human Brainstem: Studies with [ <sup>3</sup> H]Idazoxan and [ <sup>3</sup> H]Clonidine," <u>Neurochem. Int.</u> 25(2):183-191 (1994)               |                                       |                           |

|                                                                                                                              |                                                                                                                                                                                                                                                          |                                       |                           |
|------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------|---------------------------|
| FORM PTO-1449 (Modified)                                                                                                     |                                                                                                                                                                                                                                                          | Attorney Docket No.<br>16930-000811US | Serial No.:<br>08/889,355 |
| LIST OF PATENTS AND PUBLICATIONS FOR<br>APPLICANT'S INFORMATION DISCLOSURE<br>STATEMENT<br>(Use several sheets if necessary) |                                                                                                                                                                                                                                                          | Applicant: HEIDRUN ENGLER et al.      |                           |
|                                                                                                                              |                                                                                                                                                                                                                                                          | Filing Date: 7/8/97                   | Group: To be Assigned     |
| <u>mm</u> BP                                                                                                                 | Greenberg, R. et al., "Intravesical AD32 (N-Trifluoroacetyl Adriamycin-14-Valerate) in the Treatment of Patients with Refractory Bladder Carcinoma - Clinical Efficacy, Pharmacology, and Safety," <u>Proc. Am. Urol. Assoc.</u> 153 Supp 233A:19 (1995) |                                       |                           |
| <u>mm</u> BQ                                                                                                                 | Hemström, C. et al., "Gene Product of Region E4 of Adenovirus Type 5 Modulates Accumulation of Certain Viral Polypeptides," <u>J. Virol.</u> 62(9):3258-3264 (1988)                                                                                      |                                       |                           |
| <u>mm</u> BR                                                                                                                 | Huang, S. et al., "A cellular protein that competes with SV40 T antigen for binding to the retinoblastoma gene product," <u>Nature</u> 350:160-162 (1991)                                                                                                |                                       |                           |
| <u>mm</u> BS                                                                                                                 | Ji, W. et al., "Inhibition of hepatitis B virus by retroviral vectors expressing antisense RNA," <u>J. Viral Hep.</u> 4:167-173 (1997)                                                                                                                   |                                       |                           |
| <u>mm</u> BT                                                                                                                 | Kaneda, Y. et al., "Prevention of Restenosis by Gene Therapy," <u>Annals N.Y. Acad. Sci.</u> 811:299-310 (1997)                                                                                                                                          |                                       |                           |
| <u>mm</u> BU                                                                                                                 | Koç, O.N. et al., "Transfer of Drug Resistance Genes Into Hematopoietic Progenitors to Improve Chemotherapy Tolerance," <u>Sem. Oncol.</u> 23(1):46-64 (1996)                                                                                            |                                       |                           |
| <u>mm</u> BV                                                                                                                 | Lee, R.J. et al., "Lipidic Vector Systems for Gene Transfer," <u>Crit. Rev. Ther. Drug Carrier Sys.</u> 14(2):173-206 (1997)                                                                                                                             |                                       |                           |
| <u>mm</u> BW                                                                                                                 | Li, Q. et al., "Assessment of Recombinant Adenoviral Vectors for Hepatic Gene Therapy," <u>Hum. Gene Ther.</u> 4:403-409 (1993)                                                                                                                          |                                       |                           |
| <u>mm</u> BX                                                                                                                 | Makarov, S.S. et al., "Suppression of experimental arthritis by gene transfer of interleukin 1 receptor antagonist cDNA," <u>Proc. Natl. Acad. Sci. U.S.A.</u> 93:402-406 (1996)                                                                         |                                       |                           |
| <u>mm</u> BY                                                                                                                 | Marshall, E., "Gene Therapy's Growing Pains," <u>Science</u> 269:1050-1055 (1995)                                                                                                                                                                        |                                       |                           |
| <u>mm</u> BZ                                                                                                                 | Miller, N. et al., "Targeted vectors for gene therapy," <u>FASEB J.</u> 9:190-199 (1995)                                                                                                                                                                 |                                       |                           |
| <u>mm</u> CA                                                                                                                 | Monson, F.C. et al., "Indigocarmine as a quantitative indicator of urothelial integrity," <u>J. Urol.</u> 145:842-845 (1991)                                                                                                                             |                                       |                           |
| <u>mm</u> CB                                                                                                                 | Morris, B.D. et al., "Adenoviral-mediated gene transfer to bladder in vivo," <u>J. Urol.</u> 152:506-509 (1994)                                                                                                                                          |                                       |                           |
| <u>mm</u> CC                                                                                                                 | Murayama, Y. et al., "Antisense Oligonucleotides to p53 Tumor Suppressor Suppress the Induction of Apoptosis by Epidermal Growth Factor in NCI-H 596 Human Lung Cancer Cells," <u>Antisense Nucl. Acid Drug Devel.</u> 7:109-114 (1997)                  |                                       |                           |
| <u>mm</u> CD                                                                                                                 | Niidome, T. et al., "Binding of Cationic $\alpha$ -Helical Peptides to Plasmid DNA and Their Gene Transfer Abilities into Cells," <u>J. Biol. Chem.</u> 272(24):15307-15312 (1997)                                                                       |                                       |                           |
| <u>mm</u> CE                                                                                                                 | Nolta, J.A. et al., "Transduction of pluripotent human hematopoietic stem cells demonstrated by clonal analysis after engraftment in immune-deficient mice," <u>Proc. Natl. Acad. Sci. U.S.A.</u> 93:2414-2419 (1996)                                    |                                       |                           |
| <u>mm</u> CF                                                                                                                 | Parsons, C.L. et al., "Bladder surface glycosaminoglycans: an epithelial permeability barrier," <u>J. Urol.</u> 143:139-142 (1990)                                                                                                                       |                                       |                           |

|                                                                                                                              |                                                                                                                                                                                                                                              |                                       |                           |
|------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------|---------------------------|
| FORM PTO-1449 (Modified)                                                                                                     |                                                                                                                                                                                                                                              | Attorney Docket No.<br>16930-000811US | Serial No.:<br>08/889,355 |
| LIST OF PATENTS AND PUBLICATIONS FOR<br>APPLICANT'S INFORMATION DISCLOSURE<br>STATEMENT<br>(Use several sheets if necessary) |                                                                                                                                                                                                                                              | Applicant: HEIDRUN ENGLER et al.      |                           |
|                                                                                                                              |                                                                                                                                                                                                                                              | Filing Date: 7/8/97                   | Group: To be Assigned     |
| <u>mu</u> CG                                                                                                                 | Pinnaduwege, P. et al., "Use of a quaternary ammonium detergent in liposome mediated DNA transfection of mouse L-cells," <u>Biochim. Biophys. Acta</u> 985:33-37 (1989)                                                                      |                                       |                           |
| <u>mu</u> CH                                                                                                                 | Plank, C. et al., "The Influence of Endosome-disruptive Peptides on Gene Transfer Using Synthetic Virus-like Gene Transfer Systems," <u>J. Biol. Chem.</u> 269(17):12918-12924 (1994)                                                        |                                       |                           |
| <u>mu</u> CI                                                                                                                 | Raper, S.E. et al., "Safety and Feasibility of Liver-Directed Ex Vivo Gene Therapy for Homozygous Familial Hypercholesterolemia," <u>Annals Surgery</u> 223(2):116-126 (1996)                                                                |                                       |                           |
| <u>mu</u> CJ                                                                                                                 | Rosenberg, S.A., "The Immunotherapy and Gene Therapy of Cancer," <u>J. Clin. Oncol.</u> 10(2):180-199 (1992)                                                                                                                                 |                                       |                           |
| <u>mu</u> CK                                                                                                                 | Sandberg, J.W. et al., "Improving Access to Intestinal Stem Cells as a Step Toward Intestinal Gene Transfer," <u>Human Gene Therapy</u> 5:323-329 (1994)                                                                                     |                                       |                           |
| <u>mu</u> CL                                                                                                                 | Spandidos, D.A. et al., "Expression of the Normal H-ras1 Gene can Suppress the Transformed and Tumorigenic Phenotypes Induced by Mutant ras Genes," <u>Anticancer Research</u> 10:1543-1554 (1990)                                           |                                       |                           |
| <u>mu</u> CM                                                                                                                 | Takahashi, R. et al., "The retinoblastoma gene functions as a growth and tumor suppressor in human bladder carcinoma cells," <u>Proc. Natl. Acad. Sci. U.S.A.</u> 88:5257-5261 (1991)                                                        |                                       |                           |
| <u>mu</u> CN                                                                                                                 | Vidal, P. et al., "Nouvelle stratégie pour vectorisation d-ARN dan des cellules de mammifères. Utilisation d'un vecteur peptidique," <u>CR Acad. Sci III</u> 32:279-287 (1997)                                                               |                                       |                           |
| <u>mu</u> CO                                                                                                                 | Wills, K.N. et al., "Development and Characterization of Recombinant Adenoviruses Encoding Human p53 for Gene Therapy of Cancer," <u>Hum. Gene Ther.</u> 5:1079-1088 (1994)                                                                  |                                       |                           |
| <u>mu</u> CP                                                                                                                 | Wills, K.N. et al., "Gene therapy for hepatocellular carcinoma: Chemosensitivity conferred by adenovirs-mediated transfer of the HSV-1 thymidine kinase gene," <u>Cancer Gene Ther.</u> 2(3):191-197 (1995)                                  |                                       |                           |
| <u>mu</u> CQ                                                                                                                 | Wu, G.Y. et al., "Receptor-mediated Gene Delivery and Expression in Vivo," <u>J. Biol. Chem.</u> 263(29):14621-14624 (1988)                                                                                                                  |                                       |                           |
| <u>mu</u> CR                                                                                                                 | Xiao, X. et al., "Adeno-associated virus (AAV) vector antisense gene transfer in vivo decreases GABA <sub>A</sub> $\alpha_1$ containing receptors and increases inferior collicular seizure sensitivity," <u>Brain Res.</u> 756:76-83 (1997) |                                       |                           |
| <u>mu</u> CS                                                                                                                 | Yew, N.S. et al., "Optimization of Plasmid Vectors for High-Level Expression in Lung Epithelial Cells," <u>Human Gene Therapy</u> 8:575-584 (1997)                                                                                           |                                       |                           |
| <u>mu</u> CT                                                                                                                 | Cancer Facts & Figures 1995, <u>Am. Canc. Soc.</u> 5-11 (1995)                                                                                                                                                                               |                                       |                           |
| EXAMINER                                                                                                                     | DATE CONSIDERED 6-7-99<br>                                                                                                                                |                                       |                           |

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.